



AdAstra-991100

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Chris Rygaard

Serial No: Not assigned

Group Art Unit: Not assigned

Filed: Herewith

Examiner: Not assigned

Title: MOBILE APPLICATION SECURITY SYSTEM AND METHOD

* * *

Verified Statement Claiming Small Entity Status

Title: MOBILE APPLICATION SECURITY SYSTEM AND METHOD

In the name of: Chris Rygaard

described in

- [] the specification filed herewith
[X] application serial no. 09/591,034, filed June 9, 2000.
[] patent no. _____, issued _____.

Small Business Concern Statement

I hereby declare that I am

[] the owner of the small business concern identified below:

[x] an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern: Ad Astra Engineering, Inc.

Address of Concern: 1307 S. Mary Avenue , Suite 214
Sunnyvale, California 94087

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For

purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e):

Organization Identification

☒ no such person, concern, or organization

☐ persons, concerns, or organizations listed below

Full Name:

Address:

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

Acknowledgment and Declaration

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.78(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing Mary F. Rygaard

Title of Person Signing President

Name of Concern: Ad Astra Engineering, Inc.

Address of Concern: 1307 S. Mary Avenue, Suite 214, Sunnyvale, California 94087

Signature Mary F. Rygaard

Date: October 1, 2000



Attorney Docket No. AdAstra-991100

Sector 8

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CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as FIRST CLASS MAIL in an envelope addressed to: BOX MISSING PARTS Assistant Commissioner for Patents, Washington, D.C. 20231, on October 11, 2000


Cindy Hoang

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Chris Rygaard

Serial No: 09/591,034

Group Art Unit: Not yet assigned

Filed: June 9, 2000

Examiner: Not yet assigned

Title: MOBILE APPLICATION SECURITY SYSTEM AND METHOD

**RESPONSE TO NOTICE TO FILE MISSING PARTS
OF NONPROVISIONAL APPLICATION**

Box MISSING PARTS
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the "Notice to File Missing Parts of Nonprovisional Application" mailed by the United States Patent and Trademark Office on August 11, 2000. The following documents are enclosed to complete the filing of the above-referenced patent application:

1. Copy of Notice to File Missing Parts (1 pg.)
2. Executed Verified Statement Claiming Small Entity Status (3 pgs.)
3. Executed Declaration and Power of Attorney (3 pgs.)
4. Check # 456694 in the amount of \$660.00
5. Return Postcard



Attorney Docket No. AdAstra-991100

Check # 456694 in the amount of \$660.00 is enclosed and any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: 10/11/2000

By Timothy W. Lohse

Timothy W. Lohse

Reg. No. 35,255

Attorney for Applicant

GRAY CARY WARE & FREIDENRICH
3340 Hillview Avenue
Palo Alto, CA 94304-1203
Telephone: (650) 320-7400

FORMALITIES LETTER



OC000000005315455

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

Astra

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/591,034	06/09/2000	Chris Rygaard	AdAst-991100

Timothy W Lohse
Gray Cary Ware & Fredenrich LLP
Attn Patent Department-HV
400 Hamilton Avenue
Palo Alto, CA 94301

RECEIVED

AUG 22 2000

GRAY CARY
WARE & FREDENRICH

Date Mailed: 08/11/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$468.
■ \$468 for 6 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1288.

A copy of this notice **MUST** be returned with the reply.

David S. Carter
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/17/2000 GTEFFERA 00000100 09591034

01 FC:201 355.00 OP
02 FC:205 65.00 OP
03 FC:202 240.00 OP

PATENT DOCKET	
U.S.:	FOREIGN:
DOCKETED: 8/24/00	BY: <i>fw</i>
ACTION:	
DUE DATES:	
ATTY:	
DATE: 8/10/00 4:03 PM	